

Attorney Docket No. CSSK-020CP3  
55603-052

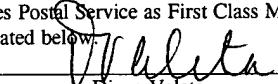
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Allan N. Weiss  
Serial No. 10/087,339  
Filing Date: March 1, 2002  
Title: PROXY ASSET SYSTEM AND METHOD  
Art Unit 2852

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(1))

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on the date indicated below.

Date: 6-6-02

  
Diane Valeta

Assistant Commissioner For Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Transmitted herewith for filing are the following documents:

- Copy of Notice to File Missing Parts
- Declaration and Power of Attorney for Patent Application
- Request for Correction to Filing Receipt

A \$65.00 check is enclosed for the surcharge for a small entity set forth in 37 CFR 1.16(e) in compliance with 37 CFR 1.27. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1133.

Respectfully submitted,

  
David M. Mello, Reg. No. 43,799  
McDermott, Will & Emery  
28 State Street  
Boston, MA 02109  
Tel (617) 535-4037  
Fax (617) 535-3800

Date: June 6, 2002



~~RECEIPT \$~~  
~~#3~~

Attorney Docket No. CSSK-020CP3  
55603-052

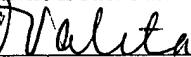
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REQUEST FOR CORRECTION TO FILING RECEIPT

Please correct the Filing Receipt for the above-referenced application as indicated in red on the enclosed copy. In particular, please change applicant's correspondence address by adding David M. Mello. Please change applicant's residence by adding Cambridge, MA. Please change domestic priority data as claimed by applicant to CIP of 09/567,901.

Thank you for your attention to this matter. If you have any questions, please do not hesitate to call me at 617-535-4037.

Respectfully submitted,

  
David M. Mello, Reg. No. 43,799  
McDermott, Will & Emery  
28 State Street  
Boston, MA 02109  
Tel (617) 535-4037  
Fax (617) 535-3800

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILED DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/087,339	03/01/2002	2852	718	CSSK-020CP3	16	54	4

David M. Mello

McDermott, Will & Emery  
 28 State Street  
 Boston, MA 02109

RECEIVED  
 APR 19 2002  
 MWB

CONFIRMATION NO. 5050  
 FILING RECEIPT



\*OC000000007867753\*

Date Mailed: 04/15/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Cambridge, MA

Allan N. Weiss, Residence Not Provided;

## Domestic Priority data as claimed by applicant

09/567,901

THIS APPLICATION IS A CIP OF 09/507,901 02/22/2000 PAT 6,344,031  
 WHICH IS A CIP OF 09/408,103 09/29/1999  
 WHICH IS A CIP OF 08/961,121 10/30/1997 PAT 5,987,435  
 AND CLAIMS BENEFIT OF 60/272,625 03/01/2001

## Foreign Applications

If Required, Foreign Filing License Granted 04/13/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

## Title

Proxy asset system and method

## Preliminary Class

DOL/EGD  
 PGM  
 6/15/02 Correct filing  
 Receipt  
 (10/15/02 Final)

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



O I P E JC41  
JUN 13 2002

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/087,339	03/01/2002	Allan N. Weiss	CSSK-020CP3

CONFIRMATION NO. 5050

FORMALITIES LETTER



\*OC00000007867095\*

McDermott, Will & Emery  
28 State Street  
Boston, MA 02109

Date Mailed: 04/15/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/18/2002 JBALINAN 00000101 10087339

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65.00 OP